

10/533372

PATENT

Attorney Docket No. MIT-171

JC17 Rec'd PCT/PTO 29 APR 2005

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Watts  
SERIAL NO.: Not yet assigned GROUP NO.: Not yet assigned  
FILING DATE: Herewith EXAMINER: Not yet assigned  
TITLE: WAVELENGTH INSENSITIVE INTEGRATED OPTIC  
POLARIZATION SPLITTER

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. In accordance with the U.S. Patent Office's partial waiver of the requirement under 37 C.F.R. 1.98(a)(2)(i), only copies of the non-patent publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

10/533372

JC17 Rec'd PCT/PTO 29 APR 2005

- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

### STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

Date: April 29, 2005  
Reg. No. 44,381

Natasha C. Us  
Natasha C. Us  
Attorney for Applicant(s)  
Goodwin Procter LLP  
Exchange Place  
Boston, Massachusetts 02109  
Customer No. 051414

Tel. No.: (617) 570-1806  
Fax No.: (617) 523-1231  
VER 12/00

JC20 Rec'd PCT/PTO 29 APR 2005

SHEET 1 OF 1

FORM PTO - 1449				ATTORNEY DOCKET NO.: MIT-171					
INFORMATION DISCLOSURE STATEMENT				APPLICANT(S): Watts					
				SERIAL NO.: 10/533372					
				FILING DATE: Herewith					
				GROUP: Not yet assigned					
U.S. PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE		
	A1	5,133,029	07/21/1992	Baran <i>et al.</i>					
FOREIGN PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
	B1	0 637 762	02/08/1995	EP				N	Y
	B2	0 202 629	11/26/1986	EP				N	Y
	B3	05066362	03/19/1993	JP				N	Y (abstract only)
	B4	02023306	01/25/1990	JP				N	Y (abstract only)
OTHER ART, JOURNAL ARTICLES, ETC.									
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
	C1	Ridder, <i>et al.</i> "An Integrated Optic Adiabatic TE/TM Mode Splitter on Silicon," <u>Journal of Lightwave Technology</u> , Vo. 11, No. 11, November 1993, pp. 1806-1811							
	C2	Watts, <i>et al.</i> , "Polarization splitting and rotating through adiabatic transitions," <u>Proceedings of Integrated Photonics Research Conference 2003</u> , pp. 26-28, June 2003							
EXAMINER					DATE CONSIDERED				

VER 9/00